

Performance and Accountability in the Department of Health

February, 2006

Washington's Authorizing Environment for Performance and Accountability

Working to ensure high performance and being accountable for results are basic to leadership and management. The formal performance and accountability structure is defined by statutes creating the three branches of government in general, and the executive branch and Department of Health (DOH) in particular. Department of Health is authorized and responsible for specific programs and activities and expected to achieve certain results. We achieve results by identifying clear strategies, goals, objectives, approaches and measures. These are developed through formal and informal discussions and processes, involving a variety of persons from inside and outside the agency, state and local government.

The 2006 management, performance and accountability environment for Washington agencies includes the following elements or requirements:

- Priorities of Government (POG) as a foundation for planning and budgeting;
- The budget, including strategic planning and performance measures development as part of the biennial budget process;
- GMAP at the Governor, agency and division/program level;
- Requirement for a quality program and plan, with the regular, periodic, application for a Baldrige type award;
- Periodic reviews from the Joint Legislative Audit and Review Committee (JLARC);
- Regular financial audits; and
- Performance audits.

An additional element, the performance review is proposed in House Bill 3109 and Senate Bill 6767. For the Department of Health the Report Card on Health (Health Indicators) provides an additional foundation for planning and budgeting. The Public Health Improvement Partnership (PHIP) Standards provide additional measurement tools for Washington public health as well.

Nothing on this list is new. What has changed is that a scant 12 months ago only some elements were formally in place: budgeting, including strategic planning and performance measures; JLARC audits and regular financial audits. Within the last year POG, Government Management Accountability and Performance (GMAP), data driven management, quality improvement, and performance audits have been put into law (ESHB 1970). Performance audits are also now required by voter initiative. This is a sea change in state government!

While this is not new work, the level of focus and the degree of intensity have increased, warranting a higher level of attention in the agency. The attached matrix displays the high level interrelationships among these elements and requirements.

Strategy

DOH needs a single coherent strategy to incorporate and implement all of the performance management tools and requirements. The strategy should include a way to ensure congruence in the application of all of the different tools and requirements. This will also enable us to be efficient in our use of our resources and capitalize our efforts to achieve better and more results. Putting systems in place and identifying roles, responsibilities and assignments early on will save time and effort as well.

Acknowledgement of and respect for the fundamental roles of agency leadership and management is the foundation for applying the newly formalized tools and requirements. They do not substitute for agency leadership and management. When used well, these tools supplement and strengthen DOH's ability to perform and achieve results throughout the organization. The vision is to continue to become, and to be perceived as, a high performance, continuously improving, healthy, organization.

The Office of Performance and Accountability

The Office of the Secretary (OS) provides support for performance and accountability (e.g. strategic planning, balanced scorecard, quality improvement,). In September 2005 Secretary of Health Mary Selecky consolidated those resources into an Office of Performance and Accountability in her office. Reporting to the Secretary, the office has the following functions related to meeting state requirements for performance management within the Department of Health:

- Take the lead role in coordinating internal planning, measurement development, and reporting processes;
- Support and coordinate DOH participating in the Governor's GMAP forums.
- Assist in identifying and developing required capacity in divisions and offices for analysis, quality improvement, GMAP. This should include researching appropriate job descriptions, best practices and training.
- Facilitate access and referral to technical expertise and resources, including what others are doing at the state and national level.
- Support and coordinate office and division lead staff in performance and accountability;
- Coordinate and link with external partners involved in performance and accountability in order to keep them informed of DOH's progress in this area, and to inform DOH's work with their progress;
- Work to ensure that performance and accountability requirements and tools are further integrated with each other and into DOH's business practices. Assist and lead the agency through a process to document/consolidate the many strategies and performance measures that we have.

Customer Service

The Office of Performance and Accountability is principally an internal service unit for DOH. Internal customers include: The Secretary and Deputy Secretary, Assistant Secretaries, Senior Management Team (SMT), Division Management Teams, Chief Administrators' Group (CAG), Program Managers Team (PMT), Budget Director/Budget staff, PHIP staff, division/ office lead performance and accountability staff; Programs going through the Governor's GMAP forum or subject to performance audits, Internal Auditor; Programs in need of support for internal GMAP's or quality improvement processes.

External customers include the Governor's Office of Management and Accountability; public health leadership organizations [e.g. Public Health Leadership Forum (PHELF), Environmental Health and Nursing Directors, Washington State Association of Local Public Health Officials (WSALPHO)]; local health jurisdictions, the legislature, media, the national Centers for Disease Control (CDC), and the public.

Roles and Responsibilities: The Matrix Approach:

The Office of Performance and Accountability, agency leadership, office and division leadership, program and technical specialists work together in a matrix arrangement to ensure the quality and timely completion of work related to performance and accountability.

Co-workers include, but are not limited to, office and division liaisons; staff in the offices of Budget, Communication, Policy, and Planning; the Internal Auditor; selected staff, committee members and consultants involved with performance and accountability with PHIP, WSALPHO, PHELF, and the State Board of Health.

Major outputs and products of this cooperative effort include:

- Agency Strategic Plan and Activity Inventory with performance measures;
- DOH Quality Improvement Plan including the quality award application by 2008;
- Quarterly Governor GMAP Forums with associated follow-up work;
- Triennial PHIP Standards Review at the OS and agency wide level.

Other products or shared activities include a performance and accountability staff training and development strategy; leadership, coaching and support for internal GMAP's, quality improvement and alignment work, staff coordination for JLARC or State Auditor's Office (SAO) performance audits as appropriate; Staff support for the Office of the Secretary and any SMT strategic planning workgroups.

Each major output or product has a Responsibility Matrix and flow chart that describes roles, responsibilities and relationships in their production and, if appropriate, implementation. A sample matrix is attached to this paper.

Offices and Divisions: the Workhorses in Performance and Accountability

The hard work of achieving quality results resides with the divisions and offices in DOH. Many times this is achieved in collaboration with, or through, local partners. Assistant Secretaries and OS Office Directors are accountable for these results. In order to implement the performance and accountability requirements in a useful and efficient way, offices and divisions are asked to designate a primary point of contact or liaison, for performance and accountability activities. While performance and accountability work involves many people in an organization, the liaison should be able to serve in the following capacities: point of contact for strategic planning related assignments; coordination of performance measures development and reports; providing information on performance and accountability training and capacity building needs; identifying consulting and technical assistance needs, and the sharing of tools and best practices. Eight offices and divisions have a performance and accountability liaison, or PAL.

The internal auditor participates with the liaisons. The exchange of information among the PALs informs the internal audit work plan, and provides a venue for attention to chronic agency system issues. The auditor's participation brings his special expertise to bear on day to day performance and accountability work.

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Inter-relationships among State Requirements
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Requirements Elements	HB 19701	GMAP	PHIP STANDARDS	PERFORMANCE AUDITS
Agency Accountability in each area	Governor, Legislature	Governor/ Secretary/ Asst Secretaries	Public Health Community, Secretary	Auditor
Quality/ Process Improvement	Required	Variation	Required	Unknown
Budget: Fiscal	Use data, relate to budget	Budget report displayed	Crosswalk to Performance standards/ Measures	Will likely be part of audits
Budget: Activity Inventory	Requires goals, objectives, measures	No Governor's priorities	Crosswalk to Performance standards/ Measures	Measurable results will be examined in audits
Strategic Plan	Required	Variation	Required	Possible Feedback On
Data Driven Management and Reporting	Yes	Yes	Evidence Based	Feedback
PHIP Standards Review	N/A	Congruence hoped for		Unknown
Other	Quality Award Application Assessment Customer Service	Governor's Forums	Public Health Program Standards Report Card Health of Wa. State	State Auditor will select audit areas.

(Notes :)

1. ESHB 1970 passed the Washington legislature in 2005. It put strategic planning, GMAP, quality improvement, the periodic application for a quality award, and data driven or performance measurement into statute. While not new work, it is the first time many of these requirements have been in law.

2) There are other requirements, for example in federal grants, that will need to be integrated into this process as best as possible.

3) Specific parts of or programs within the agency receive different levels of attention at different times as a result of applying these requirements)